



National Oceanic and Atmospheric Administration  
 National Marine Fisheries Service  
 Greater Atlantic Regional Fisheries Office  
 55 Great Republic Drive  
 Gloucester, MA 01930  
 Phone: (978) 282-8438  
 September 3, 2020

## Initial Dealer Permit Information

The Federal Greater Atlantic Seafood Dealer initial permit application you requested is enclosed. You need to complete the enclosed forms, and, if applicable, include required additional documents. This package includes:

- Permit application, Owner form and Application instructions

### Why do you need a dealer permit?

You need to have a Greater Atlantic Region dealer permit to purchase lobster, shellfish, and fish from a federally permitted Greater Atlantic Region vessel or HMS vessel harvesting Atlantic tunas. **Additionally, you must have that permit in your possession when purchasing the species.** You need a Greater Atlantic dealer permit if:

- You purchase any of the fish or shellfish listed below harvested from Federal waters (EEZ) or;
- You purchase Atlantic tunas harvested from Federal or State waters or;
- You purchase these fish or shellfish from a vessel issued a Greater Atlantic vessel permit.

If you have any questions, please call the Greater Atlantic Region Permit Office at 978-282-8442 or your area Port Agent, found here: <https://www.fisheries.noaa.gov/contact/port-agents-greater-atlantic-region>.

### List of managed species that require a Greater Atlantic Federal Dealer Permit

|  |                                    |                              |
|--|------------------------------------|------------------------------|
| American lobster                                 | Northeast Multispecies continued - | NE Skate complex continued - |
| Atlantic bluefish                                | Atlantic halibut                   | Little skate                 |
| Atlantic deep-sea red crab                       | Atlantic Wolffish (PROHIBITED)*    | Rosette skate                |
| Atlantic herring                                 | Haddock                            | Smooth skate                 |
| Atlantic mackerel                                | Offshore hake                      | Thorny skate (PROHIBITED)*   |
| Atlantic sea scallop                             | Ocean pout (PROHIBITED)*           | Winter skate                 |
| Atlantic tunas -                                 | Pollock                            | Ocean quahog                 |
| Bluefin tuna                                     | Redfish (Ocean perch)              | Scup                         |
| Bigeye tuna                                      | Red hake (Ling)                    | Spiny dogfish                |
| Albacore tuna                                    | Silver hake (Whiting)              | Summer flounder              |
| Yellowfin tuna                                   | White hake                         | Surfclam                     |
| Skipjack tuna                                    | Windowpane flounder (PROHIBITED)*  | Tilefish                     |
| Black sea bass                                   | Winter flounder (Blackback)        | Golden                       |
| Atlantic Mackerel, Squid, Butterfish (see below) | Witch flounder (Grey sole)         | Blueline                     |
| Monkfish   | Yellowtail flounder                | Atlantic hagfish             |
| Northeast Multispecies -                         | Northeast Skate complex            | Jonah Crab                   |
| American plaice (dab)                            | Barndoor skate                     |                              |
| Atlantic cod                                     | Clearnose skate                    |                              |

A dealer of **Atlantic chub mackerel** must be issued a valid dealer permit for Atlantic mackerel, Illex squid, longfin squid, or butterfish.

\*Vessels and dealers cannot currently harvest or possess Atlantic wolffish, ocean pout, windowpane flounder or thorny skate from Federal waters.

### Mid-Atlantic Forage Fish Species

To purchase Mid-Atlantic forage species (see list below) in or from Federal waters (EEZ) from New York through North Carolina, you must be issued any dealer permit from the Greater Atlantic Region.

Mid-Atlantic Forage Species include the following:

- Anchovies
- Argentines
- Atlantic saury
- Atlantic thread herring
- Cusk-eels
- Greeneyes
- Halfbeaks
- Lanternfish
- Pearlsides
- Round herring
- Sand lances
- Scaled sardine
- Silversides
- Spanish sardine
- Pelagic molluscs
- Copepods, krill, amphipods, and other small crustaceans

### What are your reporting requirements?

Once you have an active dealer permit, you must submit weekly trip-level reports of all lobster, shellfish, and fish purchased or received. Processors must also submit the annual Processed Products report. Information about Federal dealer reporting requirements can be found at: <https://www.fisheries.noaa.gov/new-england-mid-atlantic/resources-fishing/dealer-reporting-greater-atlantic-region>

### What about Highly Migratory Species (HMS)?

Weekly trip-level reporting is also required for all Atlantic HMS (swordfish, sharks, tunas). Purchases of Atlantic bluefin tuna must be reported within 24 hours. If you need further information on reporting purchases of Atlantic bluefin tuna, please go to: <https://www.fisheries.noaa.gov/webdam/download/59399897>. If you need further information on reporting purchases of bluefin tuna or other HMS, including bigeye, albacore, yellowfin, and skipjack (BAYS) tunas, sharks and/or swordfish, please call the eDealer line at (301) 427-8590.

### What about importing or exporting seafood products?

The International Fisheries Trade Permit (IFTP) is necessary for importing and/or exporting tuna, swordfish, sharks, cod, blue crab, king crab, sea cucumbers, dolphinfish, red snapper, and grouper. Apply for the IFTP at: [https://fisheriespermits.noaa.gov/npspub/pub\\_cm\\_n\\_login/index\\_live.jsp](https://fisheriespermits.noaa.gov/npspub/pub_cm_n_login/index_live.jsp). Call (228) 549-1715 or (978) 281-9260 for information about trade of highly migratory species. For more information about importing other species that require the IFTP, see <http://www.iuufishing.noaa.gov/RecommendationsandActions/RECOMMENDATION1415/FinalRuleTraceability.aspx> or call 301-427-8301.

### Ways to submit your application.

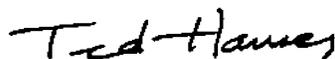
Incomplete applications will be returned to you. Please read the application instructions carefully. If you have questions on how to complete the application, call 978-282-8442. **Do not** submit duplicates of your application. (Submitting duplicates of your application may delay processing.) Please submit your application using **only one** of the following methods:

- Faxing to: (978) 281-9161; or,
- Emailing scanned forms to: NMFS.GAR.Permits@noaa.gov; or,
- Mailing forms to: NMFS Permit Office  
55 Great Republic Drive Gloucester, MA 01930

You can now apply for dealer permits online using your Fish Online account, found here:

<https://www.greateratlantic.fisheries.noaa.gov/apps/login/svZBrJJgnkNFADSGOvbtMac9IZjNeaudKxWI1OTDEKnQhNkSNW~MXOHZP64hLT7WVZ> and look for "Application Forms" in the left margin.

Sincerely,



Ted Hawes  
Section Chief  
Permits and Limited Access Programs

Enclosures

OMB# 0648-0202 – Expiration Date: October 31, 2022



National Marine Fisheries Service  
Greater Atlantic Regional Office



**Application Instructions**  
**Federal Greater Atlantic Seafood Dealer**

**Section 1 - Dealer Information**

Provide the information requested. If you are applying for an Atlantic Mackerel or Atlantic Herring at Sea Processor permit, you must enter a vessel name and hull number where indicated and include a copy of the processor vessel's current Coast Guard Documentation or State Registration.

**Section 1A - Additional Dealer Information**

If your company or business purchases or receives regulated species at more than one location, each address must be listed on the application. Space is available on the back of the dealer permit application form for the required listing of additional addresses. You do not need a separate dealer number for the additional locations as long as the businesses at these locations are all the same business entity.

**Section 2 - Selected Species**

Place an 'X' next to each of the species for which you are requesting a Federal Fisheries Dealer Permit.

**Section 3 – Applicant's Signature**

Before submitting the application, carefully review the application form for accuracy and completeness. Sign and date the application.

**Applying for a Permit in the Name of a Business**

**IMPORTANT:** If you are applying for a permit in the name of a business, you must also include one of the following documents with your application:

- \*A copy of the Certificate of Incorporation; or,
- \*A copy of the Articles of Organization; or,
- \*A copy of the Annual Report for the business.

If you do not include a copy of one of these documents, your application will be deemed incomplete, and it will be returned to you. If you have questions, you are **strongly urged** to call 978-282-9442 before submitting your application.

**Important Additional Information about the enclosed Owner Form**

All dealers, whether operating as a corporation, sole proprietorship, or individual must submit the enclosed Owner Form with the application. The Owner Form must list the full name of **every** individual who has an ownership interest in a corporation, partnership, or sole proprietorship (i.e. permit is not in the name of a corporation or a partnership, but may be a "DBA" – "Doing Business As"). **If you do not include a completed owner form, your application will be deemed incomplete, and it will be returned to you.**

**Owner Form – Section A:** Write the dealer name (i.e. "Fish Shack Inc.", "DBA Bob's Fresh Fish", "John Smith" in the "Dealer or Vessel Name" box.

**Owner Form – Section B:**

- **If applying for a permit as a sole proprietor operating a D.B.A. (i.e. "Doing Business As"):** The person operating the D.B.A. is considered to be the "owner" and his or her name must be written in Section B of the owner form, and the "Owner" box must be checked.
- **If applying for a permit in the name of an individual:** You must write his or her name in both Section A and B on the owner form, and the "Owner" box must be checked.
- **If applying for a permit in the name of an unincorporated cooperative:** The person(s) in charge of the unincorporated cooperative are considered "owners" and his or her name(s) must be written in Section B of the owner form and the "Owner" box must be checked.
- **If applying for a permit in the name of a business that is owned by a parent company:** The person in charge of the parent company (i.e. company President, Director, C.E.O) is considered the "owner", and his or her name must be written in in Section B of the owner form, and the "Owner" box must be checked.

If you have questions, you are **strongly urged** to call 978-282-9442 before submitting your application.





United States Department of Commerce  
 National Oceanic and Atmospheric Administration  
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 Greater Atlantic Regional Fisheries Office  
 55 Great Republic Drive  
 Gloucester, MA 01930  
 Phone: (978) 282-8438  
 Fax: (978) 281-9161

Federal Greater Atlantic Seafood Dealer  
 Initial Dealer Permit Application

**Section 1 – Dealer Information**

Email Address \_\_\_\_\_ Applying as a business? Yes \_\_\_ No \_\_\_  
 Dealer Name \_\_\_\_\_ Owner Name \_\_\_\_\_  
 Mailing Address \_\_\_\_\_ Telephone \_\_\_\_\_ Fax \_\_\_\_\_  
 Physical Address \_\_\_\_\_ Alt. Telephone \_\_\_\_\_  
 \*\*Vessel Name (if applicable) \_\_\_\_\_ \*\*Vessel Hull Number (if applicable) \_\_\_\_\_

**\*\*See enclosed application instructions under “Section 1 – Dealer information” for an explanation.**  
 If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed. List those additional addresses on the back of this form in Section 1A.

**Section 2 – Species**

Select the species for which you wish to be permitted to purchase by placing an (X) on the appropriate line(s).

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Atlantic Bluefin Tuna            | <input type="checkbox"/> Mackerel, Squid, Butterfish | <input type="checkbox"/> Atlantic Herring At Sea Dealer |
| <input type="checkbox"/> Other Atlantic Tunas*            | <input type="checkbox"/> Mackerel At Sea Processor   | <input type="checkbox"/> Spiny Dogfish                  |
| <input type="checkbox"/> Surfclam/Ocean Quahog – Dealer   | <input type="checkbox"/> Scup                        | <input type="checkbox"/> Tilefish                       |
| <input type="checkbox"/> Surfclam/Ocean Quahog– Processor | <input type="checkbox"/> Black Sea Bass              | <input type="checkbox"/> Atlantic Deep Sea Red Crab     |
| <input type="checkbox"/> Summer Flounder                  | <input type="checkbox"/> Monkfish                    | <input type="checkbox"/> Skate                          |
| <input type="checkbox"/> Atlantic Sea Scallop             | <input type="checkbox"/> Atlantic Bluefish           | <input type="checkbox"/> Atlantic Hagfish               |
| <input type="checkbox"/> Northeast Multispecies           | <input type="checkbox"/> Atlantic Herring Dealer     | <input type="checkbox"/> Jonah Crab                     |
| <input type="checkbox"/> American Lobster                 | <input type="checkbox"/> Atlantic Herring Processor  |   |

\*Yellowfin, Bigeye, Skipjack, Albacore

**Section 3 – Owner Name and Signature**

I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Print Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

See the APPLICATION CHECKLIST on the back of this form to ensure that your application is complete.  
 Incomplete applications will not be processed.

## SECTION 1A - ADDITIONAL DEALER INFORMATION.

If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed below. If you have more than two additional addresses, write the additional addresses on a plain sheet of paper and attach it to this application.

### Company Address

|                   |               |             |
|-------------------|---------------|-------------|
| <b>Street:</b>    |               |             |
| <b>City:</b>      | <b>State:</b> | <b>Zip:</b> |
| <b>Telephone:</b> |               |             |

### Company Address

|                   |               |             |
|-------------------|---------------|-------------|
| <b>Street:</b>    |               |             |
| <b>City:</b>      | <b>State:</b> | <b>Zip:</b> |
| <b>Telephone:</b> |               |             |

## APPLICATION CHECKLIST

- \*Application signed and dated.
- \*Owner Form completed (Both Section A **and** Section B), signed and dated.
- \* If applying as a business, included a copy of **one** of the following:
  - Certificate of Incorporation; or,
  - Articles of Organization; or,
  - Annual Report

Owner name, business officers and members, address, phone number, fax number, and permit information may be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

The Paperwork Reduction Act requires potential respondents for a dealer/processor permit be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer/processor permit. One of the regulatory steps taken by the National Marine Fisheries Service (NMFS) to carry out conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to purchase, or otherwise receive for transport for a commercial purpose, other than solely for transport on land, species harvested by the owner or operator of a fishing vessel issued a Federal fisheries permit for these species. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance.

The purpose and use of permits is to: (1) register fish dealers and processor, (2) list the characteristics of dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties and / or required reports), (4) provide a mailing list for the dissemination of important information to the industry, (5) provide a universe for data collection samples, and (6) obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 55 Great Republic Drive, Gloucester, MA 01930-2276.



# Owner Form



**Remember to submit this form with your application**

- List all persons with an ownership interest in the business or vessel applying for this permit.
- Persons who have an ownership interest in a business or vessel include, but are not limited to, persons who are shareholders in a corporation or LLC, persons in a general or limited partnership, and any person with an ownership interest in the vessel or business of this application.



**All applicants must complete Sections A and B. Please sign and date below. If we don't receive this form, it will delay the processing of your application.**

**Section A** - Provide the dealer or vessel name and Federal permit number (if one exists). If this application is for a new vessel or dealer, then leave permit number blank.

|  |                       |
|--|-----------------------|
| <b>Dealer or Vessel Name:</b>  | <b>Permit Number:</b> |
| <b>USCG documentation or State Registration Number (Vessel Permit Applicants):</b> |                       |

**Section B** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |
| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |
| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

**Additional space provided on the back of this form for additional owners of the vessel or business.**

I, the undersigned, am the owner or legally authorized agent of the owner of the business named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.

Name of Applicant (print clearly) \_\_\_\_\_

Signature of Applicant \_\_\_\_\_ Date \_\_\_\_\_

**Page 2 - Section B Continued** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

| Mr/Mrs/Ms   | First Name | Middle Name | Last Name | Jr., Sr., III, etc. |
|---|------------|-------------|-----------|---------------------|
| Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> |            |             |           |                     |

You may copy this form as needed to provide information on all persons with an ownership interest in the business in Section A. Please contact the Permit Office at (978) 282-8438 if you have any questions.